



1fw 2162

PATENT  
Customer No. 22,852  
Attorney Docket No. 09812.0439 (Formerly 450101-03067)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: )  
Miruka ISHII et al. )  
Application No.: 09/980,604 ) Group Art Unit: 2162  
Filed: March 28, 2002 ) Examiner:  
For: INVESTMENT SYSTEM AND ) Confirmation Number: 5812  
DATA  
TRANSMITTING/RECEIVING  
METHOD

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**SUBMISSION OF REVOCATION OF ORIGINAL POWER OF ATTORNEY AND GRANT OF  
NEW POWER OF ATTORNEY WITH CHANGE OF CORRESPONDENCE ADDRESS**

Enclosed is a Revocation of Original Power of Attorney and Grant of New Power of  
Attorney for filing in the U.S. Patent and Trademark Office. Please associate the enclosed  
Revocation and Grant of Power of Attorney with this file. Please also note that the Attorney  
Docket Number for this application is now 09812.0439.

If there is any other fees due in connection with the filing of this paper, please charge the  
fees to our Deposit Account No. 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

By: David W. Hill  
David W. Hill  
Reg. No. 28,220

DATED: **SEP 01 2005**

DWH/FPD/mld  
Enclosures



**PATENT**

**POWER OF ATTORNEY TO PROSECUTE APPLICATIONS BEFORE THE USPTO**

I hereby revoke all previous powers of attorney given in the application in the attached statement under 37 C.F.R. § 3.73(b).

I hereby grant power of attorney to FINNEGAN, HENDERSON, FARABOW, GARRETT & DUNNER, L.L.P. Customer Number 22,852, as attorneys or agents to represent the undersigned before the United States Patent and Trademark Office in connection with any and all patent applications assigned only to the undersigned according to the USPTO assignment records or assignment documents attached to this form in accordance with 37 C.F.R. § 3.73(b).

Please also send all future correspondence concerning the application identified in the attached statement under 37 C.F.R. § 3.73(b) to Finnegan, Henderson, Farabow, Garrett & Dunner, L.L.P., Customer Number 22,852.

The undersigned understands that a copy of this form, together with a statement under 37 C.F.R. § 3.73(b) is required to be filed in each application in which this form is used. The statement under 37 C.F.R. § 3.73(b) may be completed by one of the practitioners appointed in this form, if the appointed practitioner is authorized to act on behalf of the assignee, and must identify the application in which the Power of Attorney is to be filed.

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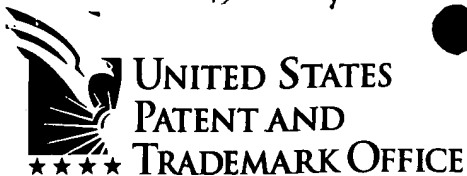
The individual whose signature and title is supplied below is authorized to act on behalf of the assignee.

Date: July 27, 2005

Name: Koichi Wada

Title: Manager, Intellectual Property Division

Signature: Koichi Wada



D DOCKETED

JUNE 04, 2002

PTAS

Commissioner for Trademarks  
Arlington, VA 22202-3513  
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FROMMER LAWRENCE & HAUG LLP  
WILLIAM S. FROMMER  
745 FIFTH AVENUE  
NEW YORK, NY 10151



\*102049023A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

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PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 03/28/2002

REEL/FRAME: 012758/0627  
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
ISHII, MIRUKA

DOC DATE: 02/18/2002

ASSIGNOR:  
FUKUDA, SHINGO

DOC DATE: 02/25/2002

ASSIGNEE:  
SONY CORPORATION  
7-35 KITASHINAGAWA, 6-CHOME  
SHINAGAWA-KU  
TOKYO 141-0001, JAPAN

SERIAL NUMBER: 09980604  
PATENT NUMBER:

FILING DATE: 03/28/2002  
ISSUE DATE:

LAZENA MARTIN, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

FROMMER LAWRENCE & HAUG, LLP  
JUN 04 2002

04-10-2002

LH Ref. No.: 450101-03067

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

To the Honorable Commissioner of Patents

102049023

attached original documents or copy thereof.

## 1. Name of conveying party(ies)

Miruka ISHII, Shingo FUKUDA

Additional name(s) of conveying party(ies) attached?  
☐ Yes ☒ No

## 2. Name and address of receiving party(ies)

Name: SONY CORPORATION  
7-35 Kitashinagawa 6-chome  
Shinagawa-Ku, Tokyo 141-0001, JapanAdditional name(s) & address(es) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

- ☒ Assignment  
☐ Security Agreement  
☐ Merger  
☐ Change of Name  
☐ Other

Execution Date: February 18 and February 25, 2002

3.28.02

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## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Int'l Patent Application No.(s) PCT/JP01/01692 (USSN 09/980,604) filed 5 March 2001

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: WILLIAM S. FROMMER

Internal Address: FROMMER LAWRENCE &amp; HAUG LLP

Street Address: 745 FIFTH AVENUE

City: NEW YORK State: N.Y. Zip: 10151

## 6. Total number of applications and patents involved

1

## 7. Total fee (37 CFR 3.41)

\$ 40.00

☒ Enclosed  
☐ Authorized to be charged to deposit account 50-0320

## 8. Deposit account number:

(Attach duplicate copy of this page if paying by deposit account)

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## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Gordon Kessler

Name of Person Signing

Signature

March 15, 2002

Date

Total number of pages including cover sheet, attachments, and document: 2

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# ASSIGNMENT

FLH File No.

WHEREAS, I, as below named inventors, residing at the addresses stated next to our names, am a sole inventor (if only one name is listed below) or a joint inventor (if plural names are listed below) of certain new and useful improvements in

## INVESTMENT SYSTEM AND DATA TRANSMITTING/RECEIVING METHOD

for which application for Letters Patent of the United States of America was executed by me on the date indicated next to my name and address;

AND WHEREAS, SONY CORPORATION, a Japanese corporation, with offices at 7-35, Kitashinagawa 6-chome, Shinagawa-ku, Tokyo 141-0001 Japan (hereinafter referred to as ASSIGNEE) is desirous of acquiring all interest in, to and under said invention, said application disclosing the invention and in, to and under any Letters Patent or similar legal protection which may be granted therefor in the United States and in any and all foreign countries;

NOW THEREFORE, in consideration of the sum of One Dollar (\$1.00), and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, I, as a sole or joint inventor as indicated below, by these presents do hereby assign, sell and transfer unto the said ASSIGNEE, its successors, assigns, and legal representatives, the entire right, title and interest in the said invention, said application, including any divisions and continuations thereof, and in and to any and all Letters Patent of the United States, and countries foreign thereto, which may be granted for said invention, and in and to any and all priority rights and/or convention rights under the International Convention for the Protection of Industrial Property, Inter-American Convention Relating to Patents, Designs and Industrial Models, and any other international agreements to which the United States of America adheres, and to any other benefits accruing or to accrue to me with respect to the filing of applications for patents or securing of patents in the United States and countries foreign thereto, and I hereby authorize and request the Commissioner of Patents to issue the said United States Letters Patent to said ASSIGNEE, as the assignee of the whole right, title and interest thereto;

And I further agree to execute all necessary or desirable and lawful future documents, including assignments in favor of ASSIGNEE or its designee, as ASSIGNEE or its successors, assigns and legal representatives may from time-to-time present to me and without further remuneration, in order to perfect title in said invention, modifications, and improvements in said invention, applications and Letters Patent of the United States and countries foreign thereto;

And I further agree to properly execute and deliver and without further remuneration, such necessary or desirable and lawful papers for application for foreign patents, for filing subdivisions of said application for patent, and or, for obtaining any reissue or reissues of any Letters patent which may be granted for my aforesaid invention, as the ASSIGNEE thereof shall hereafter require and prepare at its own expense;

And I further agree that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said application, said invention and said Letters Patent and legal equivalents in foreign countries as may be known and accessible to me and will testify as to the same in any interference or litigation related thereto;

And I hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment and sale.

And I hereby authorize and request my attorney(s) of record in this application to insert the serial number and filing date of this application in the spaces that follow: International Serial Number: PCT/JP01/01692, International Filing Date: 5 March 2001.

This assignment executed on the dates indicated below.

Miruka ISHII

Name of first or sole inventor

Execution date of U.S. Patent Application

Tokyo, Japan

Residence of first or sole inventor

*Miruka Ishii*

*18/02/2002*

Signature of first or sole inventor

Date of this assignment

Shingo FUKUDA

Name of second inventor

Execution date of U.S. Patent Application

Tokyo, Japan

Residence of second inventor

*Shingo Fukuda*

*25/02/2002*

Signature of second inventor

Date of this assignment